

CHAPTER 13000 RECORD/PAPERWORK MANAGEMENT

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13100 CASE AND MANAGEMENT INFORMATION SYSTEM AND CASE DOCUMENTATION

- A. The Case and Management Information System (CAMIS) is the Children's Administration's (CA) automated case management system. CAMIS is designed to automate file information and provide reports regarding CA clients, providers, and licensees.
- B. The following table identifies tasks and procedures to be completed in CAMIS and staff responsible for their completion. The table will be updated as needed to reflect changes in CAMIS.

TASK / PROCEDURE	JOB CLASS TO BE ASSIGNED CAMIS DATA ENTRY
1. Searching statewide for information on clients/providers	All
2. Entering all referrals made to the department	Regional / Local design
3. Assigning referrals	Regional / Local design
4. Creating case numbers	Clerical, plus other job classes for back-up if necessary
5. Updating case status	Primarily clerical/supervisors
6. Entering worker assignment history	Primarily clerical/supervisors
7. Entering record location status	Regional / Local design
8. Maintaining current data regarding ethnicity, language, name, social security number (for children in placement), and legal residential address	Regional / Local design
9. Completing SSI eligibility records	SSI Facilitators, program managers, support staff
10. Completing Title IV-E records	Eligibility Specialists
11. Completing Title XIX records	Eligibility Specialist
12. Completing risk and summary assessments/with findings in investigation module	Social Worker
13. Creating and updating SSPS provider numbers and businesses	Clerical, plus other job classes for back-up if necessary
14. Tracking placement and legal history, legal status, and custody	Regional / Local design
15. Creating and updating licensing records	Regional / Local design
16. Creating and updating facility complaint records	Regional / Local design
17. Creating and updating contracts	Regional design
18. Entering and updating SSPS Authorizations	Regional / Local design (Authorized personnel only)
19. Completing Service Episode Recording (SER) in CAMIS referral and case modules.	Social Worker, supervisor, financial service specialist, headquarters SSI staff

- C. The CA expectation is that all SER (narrative recording) will be completed in CAMIS for all case events/activities within a reasonable time following the occurrence of the event/activity, except for SER relating to the Blood Borne Pathogens Protection Plan. See the *CA Operations Manual*, chapter 5000, section 5700. The social worker will record SER to document activities related to a client's HIV status either by hand or typed and will maintain the SER in a sealed envelope in section VIII of the hard file.
1. **All Programs**-The social worker must do SER in CAMIS within a reasonable time after an event, activity, or contact occurs to ensure accuracy of recording, in no case more than 30 days from the date of the event or activity, on each and every case event or case activity. The social worker must document all case activity in the single case file for the client family.
- a. Each SER recording includes the following:
- i. **When** - Full dates (month/day/year) of when the event occurred.
 - ii. **Who** - Full names of persons present along with a recording of their roles in the case (e. g., "child's mother, Mary Smith"; "child's therapist, Jane Dow"; "Mary Smith's boyfriend, John Doe"; etc.) at least once on each page of recording, with the exception of foster parents, who will be identified by first name or as "foster parent." The social worker must not identify the foster parent with the foster parent's full name.
 - iii. **Where** - A description of location of event/contact; e. g., "Mary Smith's home"; "DCFS Office meeting."
 - iv. **Why** - A description of the purpose of the event/contact.
 - v. **What** - Include a behaviorally specific description of what occurred during the event/contact; e. g., "Mary Smith's breath smelled of alcohol."
 - vi. **Assessment** of event/contact may be included, together with the supporting facts or evidence that led to the assessment.
- b. CA staff may enter SER into CAMIS either individually as each event occurs or may enter as a summary of events. If the staff enters a summary of events, the staff must include the same elements, listed in C.1.a above, that would be included in an individual entry. For example: "DCFS social worker Sally Jones called the child's mother, Mary Smith, four times this week on 4/1/97, 4/2/97, 4/3/97, and 4/4/97. No one answered the phone for any of the prior listed phone calls."

- c. CA staff must not make audio or video recordings of interviews, except as authorized by the CA Assistant Secretary for special project sites. The social worker needs to refuse a request from another party to make an audio or video record of interviews, unless approved by the assigned Assistant Attorney General.
- d. To protect privileged communications between the social worker and the assigned Assistant Attorney General, CA staff must document in the SER only that a contact occurred with no indication of the substance of the contact.
- e. CA staff must convey respect for the subject(s) of interviews and events in the content of all SER. Language in SER describes events, sequence of events, and observations in a clear, objective, and behaviorally specific manner.
- f. CA staff uses CAMIS SERS procedure to record SER.
- g. CA staff does not have to print out forms and SER created in CAMIS and insert them into the service binder unless required to do so for purposes of public disclosure, legal discovery, archiving records, or when directed to do so by supervisory or administrative request, or regional procedure.
- h. Social workers must not maintain "personal" files containing case information. The workers must maintain all case related information in the department's official client case file.
- i. For near verbatim interviewing requirements, see the *CA Practices and Procedures Guide*, chapter 2000, section 2331
- j. When CPS staff are present during an investigative interview in which law enforcement or another agency takes the lead during the interview, the CPS worker must also do near verbatim documentation for the CA file. **Exception:** When there is an agreement with the other agency that the CPS worker will receive a copy of the other agency's near verbatim interview notes for the CA file within the 90-day investigation period, the CPS worker does not need to do near verbatim documentation.
- k. For investigative interviews that include child statements regarding allegations of sexual abuse, CA CPS staff must document the interviews in the CAMIS SER in a format that is as close to verbatim as possible. "Near Verbatim" or "as close to verbatim as possible" means:
 - i. SER documentation must include the date, time, setting, length of interview, and names of persons present during the interview.
 - ii. Staff may summarize the rapport building phase of the

interview as long as the staff includes information given to the child regarding the nature and process of the interview.

- iii. Staff must document clearly all statements made by the child relating to the alleged sexual abuse. Documentation will reflect as closely as possible the chronological order and content of the interview. The disclosure statements must be recorded as close to verbatim as possible, accurately and fully representing what the CA interviewer and the child or adult said during the interview process.
- I. Non-CPS staff, including CWS, FRS, and HSS staff, must use near verbatim recording any time a child makes statements to the non-CPS staff that may disclose sexual abuse. The non-CPS staff are required to record only the statements in the interview relating to alleged child sexual abuse in a near verbatim format. These statements include disclosures and denials of sexual abuse and provision of information directly related to the specific allegation. The staff may summarize the remainder of the interview.
- m. Staff will use such notes as an aid when entering the information into the CAMIS SER module. The SER documentation represents the investigator's best recollection of what occurred during the investigation and is the official record of all interviews.
 - i. Staff must enter documentation into the CAMIS SER as soon as possible after each contact and, in the case of alleged child sex abuse cases, within 15 working days from the date of the interview. The Regional Administrator or the Regional Administrator's designee must approve waivers for input beyond 15 working days.
 - ii. Staff will retain their handwritten notes on each investigative contact until the investigator has entered documentation of the contact into the CAMIS SER. Following a check of the CAMIS SER for accuracy of the contact documentation the investigator has entered, the investigator must discard the handwritten notes.
- 2. **Child Protective Services (CPS)**-If a supervisor has made an exception to the requirement that the face-to-face visit occur within 10 days from the date of referral, the supervisor must note the exception using the CAMIS "CASEACTN" procedure until CA implements the "DOCUMENT" procedure.
- D. The Regional Administrator or Regional Manager, as applicable, is responsible for integrity of CAMIS data input.
- E. See Chapter 15000 for CAMIS/Information System standards and the *CAMIS User's Manual* for procedures related to use of the information system.

13200 INITIATING RECORDS

13210 Intake and Assessment Requirements for CPS

- A. The CA Intake social worker completes the CAMIS referral on any Child Protective Services (CPS) or other referral. Referrals that do not pass the sufficiency screen remain in CAMIS. Social workers record in CAMIS all other calls to Intake requesting information or consultation as "information only."
- B. The local office opens a single family case record for each family following a referral. When referrals involve only information and referral contacts, other activities of 30 minutes duration, or referrals that result in a screening decision that the family is not eligible for services, a case record binder is not created. However, intake and screening decisions are recorded in CAMIS.
- C. When a child in a sibling group is placed out of the home or legal proceedings are initiated, the local office establishes a CAMIS dash record for each child placed or for whom a dependency has been filed. Separate individual service record binders for children are only established for:
 - 1. Children who are legally free;
 - 2. Children who have more than one DCFS social worker assigned to the family; and/or
 - 3. Children whose case plan is distinctly different from the case plan for their siblings.

13220 Intake and Assessment Requirements for CWS AND FRS

- A. The CA Intake social worker completes the CAMIS referral on any Child Welfare Services (CWS), Family Reconciliation Services (FRS), or licensing referral. The Intake worker retains CWS/FRS/ licensing information and referral data in CAMIS. See chapter 15000, sections 15202 and 15214, and the *Practices and Procedures Guide*, chapter 4000, section 4100.
- B. The CWS, FRS, or licensing social worker may initiate a service record inquiry by forwarding the completed intake summary to local office master files. If no existing record is located, support staff initiate a new record according to local office procedures for cases requiring services other than information and referral.

13230 Records Management

State law requires that CA maintain records for services to children and their families as well as for licensed or approved providers and for persons who apply and are subsequently denied licensure or approval for service.

RCW 13.34.130; RCW 13.50.010; RCW 26.33.330; RCW 26.44.030

- A. The CA office, in accordance with local procedures, assigns a case number for each family, child, or licensing file as appropriate. The case number will begin with the two-digit office/county code, followed by a letter designating the type of case, and the case-unique number assigned by the local office. The letter prefixes are:
 1. "L" or "D" – Family/Parent File at regional discretion.
 2. "D" -- Child with any dependency, voluntary, or CHINS legal actions.
 3. "H" – Licensed Home or Facility
- B. The Regional Administrator, the Area Manager, and the DLR Regional Manager establish procedures for their respective areas of responsibility for support staff to build, assign a unique number, file, store, add volumes, secure, transfer, and retrieve social service records, with all inactive service records maintained in a central file location until transfer to the central Records Retention Center (RRC).
 1. All closed social service records (other than those files for children whose parental rights were terminated) with closed services will be transferred to the RCC periodically. See Chapter 14000, Section 14345, for the retention schedule.
 2. Licensing files that were closed due to a revocation or denial of a license will be retained permanently in the local office.
 3. Closed records of children whose parental rights were terminated will be sent from the local office to state office adoptions staff for forwarding to State Archives. This includes records for children who were not subsequently adopted.
- C. The local or regional DCFS or DLR office, as appropriate, maintains case records on all persons or providers licensed or certified by the department.

13231 Record Establishment

- A. When a case is opened/assigned pursuant to a written or CAMIS-generated referral, case numbers and record make-up are required for the following:
 1. Child Protective Services (CPS);
 2. Family Reconciliation Services (FRS);
 3. Child Welfare Services (CWS);
 4. Child Day Care Services;
 5. Adoptions;
 6. Foster Home Licensing;

7. Intra- and Interstate Home Studies;
8. Federal Funding;
9. Foster Home/Private Agency; and
10. Rehabilitative Treatment/Behavioral Rehabilitation Services/ Group Care.

13232 Definitions

For definitions relating to case file make-up, see Appendix A, DEFINITIONS.

13233 Master File/Case Record Clerical Responsibilities

Clerical support staff determines whether a DCFS client or DLR licensing applicant has an existing case number or file in the office and/or elsewhere in the state.

13234 ACES

- A. Clerical support staff check the eligibility status of clients who are the subject of referrals or requests, using the Automated Client Eligibility System (ACES).
- B. A "Name Inquiry" in ACES must be performed. ACES will show **the most current** TANF eligibility status for a family. Assigned staff takes the following steps:
 1. Select the desired name, and if the person is "HOH" (Head of Household) the first screen that comes up will be the "ADDR" (address) screen.
 2. To see which CSO is handling the case, place cursor on first digit of CSO # in upper left corner of screen and press [F1] for a list of all CSOs and their corresponding numbers.
 3. Access the DEM1 (Demographic 1) screen to verify client's social security number, birth date, and ethnicity.
 4. Use the [F1] key to access additional screens explaining Race Code and Living Arrangement Code indicated on this screen.
 5. To get this information for the other members of the Case Unit, first press the [F11] key to display the Client Pointer associated with each client in the Case Unit.

13235 Birth Certificate

- A. The birth certificate is used by clerical support staff. After logging into the BIRTH CERTIFICATE screen, the employee accesses Birth system, then Simple Search.
- B. The employee then inputs data that are available on referral (must have birth

date) and prints a copy of the Birth Certificate of the child.

13236 CAMIS Input

A. CASSTART

1. Clerical staff uses CASSTART and inputs the referral number for cases. CAMIS generates the next sequential number. Clerical staff opens the case. The date of opening is the date the referral was accepted or date of placement, whichever is earlier. Clerical staff inputs the file folder status and creates a file folder.
2. Cases can be created from referrals for only the following types of programs: CPS, CWS, FRS, and Home Studies.
3. **Case Program Codes**
 - a. **A** - Adoptive Home Services
 - b. **C** - CPS
 - c. **F** - FRS
 - d. **H** - Home Study
 - e. **I** - Interstate Compact
 - f. **L** - Licensing
 - g. **T** - Adoption Support
4. The following two codes are not used to create cases, only for additional worker assignments on an existing, open case:
 - a. **U** - Courtesy Supervision
 - b. **S** - Service Inactive
5. **Record Requests Without a Referral**
 - a. Using CASSTART to generate a case number without a CAMIS referral (e.g., Licensing, Adoptive Home Services, Interstate Compact, Adoption Support, etc.), clerical staff follow procedures regarding CPS/FRS status/opening and worker assignments. Either create or search for all family members and input data for clients, persons, etc., and input relationship codes. Follow procedures for updating/adding data in PRSNUP screen.
 - b. **Legally Free Children** - see chapter 15000, section 15206.
 - c. **Courtesy Supervision** - see chapter 15000, section 15213.
 - d. **Interstate Compact** - see chapter 15000, section 15214.
 - e. **Federal Revenue File**-For every child residing in department-paid substitute care more than 72 hours (Saturday, Sunday & holidays excluded), the Master File clerk creates the hard copy Federal

Revenue file at time of creation of the social service file, for placement cases, and at the request of the FSS for non-placement. The Master File clerk indexes the file to the child receiving services and enters the appropriate data in CAMIS.

- B. CASWRKDAT checks social worker assignment and date. If the information is incorrect, assigned clerical staff or the unit supervisor updates or deletes data as necessary.
- C. CASERELS screen adds, deletes, updates status of clients and relationships of clients. If birth date and Social Security number are not already input, clerical staff adds the data taken ACES. If all pertinent information is input, check for accuracy. Each person needs to be updated for language, ethnicity, LEP, and any corrections that need to be made to assure accuracy.
- D. **Dash Records**
 - 1. A dash number case is opened for each child in placement regardless of length of placement or for whom any legal action has been initiated, for hard copy and paperless files. If placement is less than 72 hours, excluding the weekend, a paperless file is generated in CAMIS. The status of the file will be pending. A hard copy federal revenue file will be made for each child in placements of over 72 hours excluding weekends and holidays.
 - 2. For teen parents and their infants residing in the same out-of-home care facility, a separate dash file IS NOT created for the infant. The infant is considered to be living with his/her teen parent, and a Placement Episode for the infant is not created in CAMIS. A legal authorization-to-place for the infant is not required when the teen parent and infant are residing together. An amount sufficient for the infant's maintenance is included in the teen parent's maintenance payment, and medical coupons are issued for the infant. Should the teen parent and infant be placed apart, or the teen parent leaves the home, it is at that point that Placement Episode is created, and a legal authorization to place the infant is required.
- E. **Existing Records**-To connect a new referral to an existing case, on the command line staff uses CAMIS procedure CASREFCD. Staff answers "yes" to the two questions on the following screen to bring over caseworker and address. On the CASEUP3 screen, the worker follows procedures as in new case openings.
- F. **Case Closures**
 - 1. Refer to chapter 15000, section 15202. Completion of a Summary Assessment is required on all cases at closure that initiated as CPS. The social worker completes a Summary Assessment form on each case receiving the high standard of investigation at the conclusion of the investigation. The narrative recording, when required, will document all activities and responses to the referral as well as the basis for the

assignment of risk.

2. For procedures for administrative support staff regarding case closure, see section 13850, below.

13300 ADMINISTRATIVE RECORDS

- A. When personnel covered by the Public Assistance Bargaining Agreement or their family members are party to a CPS, FRS, CWS, child care license applicant or licensee, adoption applicant, or Participation Child Care referral or case other than as referrers, collateral contacts, or witnesses, an Administrative File may be created upon notice to the Regional Administrator. For personnel employed by CA, confidential administrative records are created.
- B. See chapter 15000, section 15204, for additional standards and procedures for establishment of administrative files.

13400 COMPOSITION OF CLIENT RECORDS

13405 Family Assessment Information

- A. **Family Face Sheet**. The family face sheet document is always to be placed in front of this pre-section divider.
- B. The following items go behind this pre-section divider in chronological order:

(Note: When an assessment or report relating to one of the bulleted items is child specific, place the report in section III Health and Education.)
 1. Comprehensive Family Assessment
 2. Mental Health Assessment of Parents/Family
 3. Drug and Alcohol Assessment of Parents
 4. Psychological/Psychiatric Evaluation of Parents
 5. Anger Management Evaluation
 6. Domestic Violence Assessment
 7. Bonding/Parenting Assessment
 8. Non-substance Addictive Behaviors Assessment
 9. Other Assessments or Evaluations of Parents/Family

13410 Social Service Record Make-up

The service record contains separate sections placed in a binder and/or in CAMIS in the following order:

A. Section I - **Case Activity Section**

1. Section I contains:
 - a. Health & Safety (90 day contact)
 - b. Investigative Risk Assessment
 - c. Reassessment
 - d. Referrals to Children's Administration
 - e. After Hours Initial Evaluation and Initial Safety Plan Form
(Note: This form is completed only by Central Intake when a child is at serious and immediate risk. It does not replace the required safety assessment and safety plan completed in GUI CAMIS.)
 - f. Referral to Law Enforcement
 - g. Service Episode Record (SER)
 - h. Summary Assessment
 - i. Transfer/Closure Summary
 - j. Case Reviews – Supervisor and/or Administrative.
2. The Family Face Sheet Document is always to be placed in front of the section I Case Activity divider. All other case activity information or forms are placed in Section I in chronological order with the exception of voluntary service agreements or plans, which are placed behind a sub-tab in Section I titled *Voluntary Service Agreements/Plans*.

B. Section II - **Placement and Legal Section**. The following items go directly after the child specific subsection divider(s) of Section II in chronological order. Note: Each child placed must have a separate subsection from the Original Placement Date (OPD) forward.

1. Section II contains:
 - a. Legal & Placement History Form (CAMIS printout)-This form must always be the first document after the child's sub-section divider. All other documents go directly after it in chronological order.
 - b. Pre-Placement Documents

- i. Voluntary Service Agreement/Contract Information;
 - ii. Safety Assessments;
 - iii. Safety Plans.
 - c. Legal & Placement Documents – VPA and Court Orders:
 - i. Voluntary Placement Agreement (VPA)
 - ii. Pick-up Orders and all other court orders
 - iii. Petitions
 - iv. Individualized Service Plan (ISSP) without Health & Education Reports
 - v. Guardian Ad Litem (GAL) Reports to the Court
 - vi. Foster Parent Reports to the Court
 - vii. Juvenile Criminal Court Order/Records
 - viii. Juvenile Rehabilitation Parole Legal Information
 - ix. Reunification Assessment
 - x. Transition and Safety Plan
 - d. Criminal Background History or Clearances (on Child)
 - e. “Due Diligence” Documentation (Parent notification)
 - f. ICW Legal Documents (Court Order and ISSP only). All other ICW Documents in Section V Indian Child Welfare.
 - 2. Privileged communications are placed behind a sub-tab titled *Privileged Communications with AAG*. All AAG Communications are included. (Note: This includes communications with contracted county prosecutors or private attorneys who are representing Children’s Administration.)
 - 3. Social workers may, at supervisory direction, divide all legal documents (except privileged communications) behind sub-tabs in this section titled *Child 1, Child 2, Child 3*, etc.)
- C. Section III - **Child Health and Safety Section**. Each child placed must have a separate subsection from Original Placement date (OPD) forward.
- 1. Section III includes all documents related to the child’s health and education, including the Passport. The following items go directly after the

child specific subsection divider(s) in chronological order:

- a. Behavior Rehabilitation Services (Group Care) Documents
- b. Child Counseling Reports and Information
- c. Child Drug/Alcohol Evaluations
- d. Child Medical Records/Reports
- e. Child Psychiatric/Psychological Evaluations
- f. Crisis Residential Center (CRC) Reports
- g. DDD Eligibility
- h. Family Background and Medical Reports (DSHS 13-041)
- i. Health & Education Passport
- j. Home Based Service Reports – if Child Specific
- k. Independent Living Skills Reports
- l. Juvenile Probation/Parole Staff Reports
- m. Pre-Passport Screening Assessments
- n. Referrals For Services – if Child Specific
- o. School Reports
- p. Staffings Specific to the Child
- q. Birth Certificate (CAMIS printout) & Social Security Cards (Photocopy)

2. The Passport for each child is filed directly under each child's sub-tab. Other documents in this Section are chronologically filed by child under sub-tabs titled *Child 1*, *Child 2*, *Child 3*, etc.
3. Sub-tabs are arranged in order of the establishment of the child's CAMIS dash number; e. g., Child 1 information is related to the child with a dash 1 number, etc.

D. Section IV - **Family Background Section**. The following items go directly after this divider in chronological order.

1. Section IV contains:

- a. Relative Search Information & Documentation (Non-ICW)
- b. Relative Homestudies (Placement) (Note: Relative Adoptive Homestudies go to section VIII Other.)
- c. All Ethnic and Cultural Information (Non-ICW)
- d. All Limited English Proficiency (LEP) Information and Status Form (Non-ICW)

Note: Criminal background clearance reports go in the section VIII Other (Local, WSP, FBI, etc.), except for child specific criminal background history or clearance, which go in section II Child Legal and Placement.

2. The sub-tab titled *Ethnic and Cultural Information* includes the child's *Ethnic Identification Form* and all other ethnic and cultural information about the child and the child's family.
3. The sub-tab *Relative Search* contains all information and forms documenting efforts of CA to locate relatives and determine the suitability or availability of relatives who are available to the child both for placement and/or ongoing family relationships (except for Native American children whose relative search information is filed under Section V - **Indian Child Welfare**).

E. Section V - Indian Child Welfare (ICW) Section

1. Section V contains all ICW documentation except legal documentation, which is filed in Section II. Documentation includes, but is not limited to:
 - a. All ICW Documentation (Except Legal and ISSP Documents)
 - b. Family Ancestry Chart
 - c. Correspondence with Tribes
 - d. Ethnic Identity Request Form
 - e. LICWAC Staffing Reports
 - f. Notification to Families
 - g. Notification To Indian Organizations
 - h. Notification to Tribes
 - i. Relative Search Information & Documentation (ICW)
 - j. Relative Homestudies (Placement) (Note: Relative Adoptive Homestudies go in section VIII Other.)
2. The information in this Section is filed chronologically.

3. When the ICW Checklist is utilized, it is filed directly behind the section tab.

F. Section VI - **Service Reports and Correspondence Section**

1. Section VI Correspondence and Service Reports includes:
 - a. The following items go directly after this divider in chronological order:
 - i. All releases of information- (Note: Releases go after this divider and before the Correspondence sub-section.)
 - ii. Correspondence Subsection-Correspondence is placed after the correspondence subsection divider.
 - iii. Reports/Staffing/Visitation Subsection Reports, staffing, and visitation documents are placed after this subsection divider.
 - b. Correspondence-The following go directly after this divider in chronological order:
 - i. All Correspondence Letters
 - ii. E-mails and Fax's
 - iii. Referral for Services – Family
(Note: When this correspondence is child specific, place the information or report in section III Child Health and Education.)
2. REPORTS—STAFFING—VISITS-The following items go directly after this divider in chronological order.
Note: ICW reports go in section V Indian Child Welfare (ICW)
 - a. Case Aide / Intern / Volunteer Reports
 - b. Counseling – Family
(Note: When the counseling report is child specific, place the report in section III Health and Education.)
 - c. Court orders/legal documents (criminal, domestic, civil, etc.), Probation and Parole reports – Family Members
(Note: When court orders, probation, or parole reports are child specific, place the reports in section II Child Legal and Placement or section III Child Health and Education.)
 - d. FPS/IFPS
 - e. FRS Phase II
 - f. Home Based Service Reports – Family as a unit
(Note: When the home based service report is child specific, place

the report in section III Child Health and Education.)

- g. Home Support
- h. Law Enforcement Investigations
- i. Parenting Classes
- j. Parent Drug/Alcohol Evaluations
- k. Parent Medical
- l. Parent Psychiatric/Psychological Evaluations
- m. Staffing Records (Non-ICW)
- n. Contracted Visitation Documentation and Reports
- o. Visitation Reports by Children's Administration Staff
- p. Transportation Reports

Note: Criminal background clearance reports go in the section VIII Other (Local, WSP, FBI, etc.), except for child specific criminal background history or clearance, which go in section II Child Legal and Placement.

- G. Section VII - **Payment Section**-This section contains all payment information, filed chronologically. This information includes, but is not limited to:
 - 1. Exceptional Cost Plans/approvals;
 - 2. Exception to Policy requests/approvals;
 - 3. Federal funding information;
 - 4. Home Based Services Billings;
 - 5. Special rate Information and Approvals;
 - 6. Supplemental Security Income (SSI) eligibility documents; and
 - 7. SSPS forms.
- H. Section VIII – **Other**-The following items go behind this divider in chronological order.
 - 1. Birth Certificate (Certified)
 - 2. Life Book Information
 - 3. Photographs-(Label and date all photos)

4. Social Security Card (Original)
5. Adoptive Family Search, WARE registration, and Homestudy (Copy only)

Note: This information may be included in a child's case file only when the child's parental rights have been terminated (legally free child).

6. Criminal Background Clearance Reports

a. Examples:

- i. Parents and Legal Guardians
- ii. Relatives
- iii. Neighbors/Friends
- iv. Prospective Adoptive Parents (Place only in Adoptive parents' and/or legally free child's case file)

Note: Consult with the Assistant Attorney General's office prior to releasing any criminal background clearance information.

7. HIV/STD Information-The information must be placed in a **SEPARATE SEALED ENVELOPE** in section VIII other. Access to this envelope is strictly limited to those authorized by law, with consent or as noted on a court order. Access to other parts of a child's or an individual's record does not assume the right to access HIV/STD information.

I. SECTION IX-Audio Recording of CPS Child Interviews. The following items go behind this divider in chronological order.

1. Audio Recording Tracking Form
2. Transcribed Interviews
3. Copy of Protective Court Order Authorizing Release of Audio
4. Recording
5. Confidentiality Advisory Letter to Law Enforcement
6. Certified U.S. Mail Receipts
7. Other
8. Compact Disc of Audio Recorded Interviews
9. (Compact Disc to stored in protective vinyl page)

13411 Federal Revenue File

The Federal Revenue File contains separate sections placed in a single folder/jacket for each federal funding source; i.e., IV-E, Title XIX, and Title XVI/SSI.

- A. At a minimum, the child's Federal Revenue File contains:
 1. Copy of *Coordinated Benefits Referral*, DSHS 14-226, when necessary;
 2. Signed Statement of Medical Necessity form(s);
 3. Copy of ACES inquiry;
 4. Document eligibility decision in either CASEACTN or PRSNACTN; and
 5. Copy of COPCR for Source of Funds (SOF) Correction of Payment Action(s).
- B. The IV-E Section-The contents of the IV-E section are placed as follows:
 1. The left side of the jacket contains copies of all placement vendor licenses, CASEACTN/PRSNACTN narrative or notes (SER), copies of PLCHIST or DSHS 15-192, and the *Adoption Support Monitoring Schedule*, DSHS 14-319, all placed in chronological order with the oldest on the bottom.
 2. The right side of the jacket contains all other documents in ascending order. See chapter 11000, section 11200, for minimum documentation/verification requirements.
- C. The Title XIX Section-The Title XIX/Medicaid section is identified with a separate cover sheet.
 1. The contents are assembled in chronological, ascending order with a prong paper fastener.
 2. See chapter 11000, section 11200, for minimum documentation requirements.
- D. **The Title XVI/SSI Section**-The Title XVI/SSI section is identified with a separate cover sheet.
 1. See chapter 11000, section 11200, for minimum documentation requirements.
 2. The contents are assembled, as they are processed in the initial application, reapplication, and appeal processes, with a paper fastener.
 3. Once favorably adjudicated, award letters and recertification

documentation are added chronologically on top. Following local protocol, the Child Placement and Legal History form is placed on top of the SSI section.

13412 Assembly of Folders

A. Color-Coded Terminal Digit System

1. Basic number contains six digits, plus a suffix.
2. The first digit in the secondary group determines the color of the case record folder/binders(s). The Regional Administrator has the option to determine the color scheme in the region, although the following chart is the standard to determine the folder/binder color needed.

Number	Folder Number	Color
a.	0	White
b.	1	Red
c.	2	Yellow
d.	3	Pink
e.	4	Green
f.	5	Brown
g.	6	Blue
h.	7	Orange
i.	8	Violet
j.	9	Tan

3. The suffix, beginning with "dash 1," is assigned to the child or sibling group following age chronology, except that, when a younger child is placed prior to older siblings, the child placed first receives the "dash 1," suffix.
 4. For in-home dependencies, see chapter 15000, section 15202.
- B. Folder/Binder Labels-**Support staff does the following when preparing folder labels:**
1. Use red-bordered labels and numbered digits to identify Financial Resource folders. The region may display other identifiers consistent with local protocol.
 2. Use purple-bordered labels for adoptive home and licensing records.
 3. Use blue-bordered labels for facility child abuse and neglect investigation records.
 4. Use green-bordered labels for all other CA files.

5. Type under the color border the custodial parent(s):
 - a. Last name in capital letters, first name, middle initial;
 - b. Basic number and suffix.
- C. Folders/Binders
 1. Support staff preparing folders or binders, on the front of the folder or binder, print the basic number, including the program letter code prefix, in two-digit columns down the right side, including the suffix on foster child folders.
 2. For LEP or Indian Child Welfare (ICW) cases, "LEP" or "ICW" must be clearly printed on the front of the case folder/binder.
- D. Routing Folders/Binders and Documents-Clerical staff forwards the case record folders or binders and clearance documents to the assigned social worker or financial staff.

13500 LICENSING RECORDS

- A. Each Regional Manager will require the maintenance of Family Foster Home, Rehabilitative Treatment Services/Group Care, Child Placing, and child day care home and center licensing files, as applicable, in standard sections to facilitate consistency and orderliness of files.
- B. The licenser maintains a separate file for each program license for every agency. See section 13712 for information relating to disclosure of information in licensing files.

13510 File Structure

- A. The Office of Foster Care Licensing (OFCL) shall use the standards contained in this section.
 1. The OFCL licenser will file all documents in six-section folders as described below.
 2. The documents in each section are to be attached to the folder.
 3. If additional volumes are required, the order will continue by section order; e.g., Volume I contains sections A, B, and C, while Volume II has sections D, E, and F.
 4. The licenser places current documentation on top of each section.

13511 Section A - Licenses, Applications, and Related Documents

- A. This section contains the following materials in the order outlined:

1. A signed copy of the current license and cover letters;
2. The most recent application form, followed by prior applications. Attachments to the application are filed in Section E;
3. Exception Requests;
4. Waivers;
5. Audits, Reviews, Monitoring Reports.

13512 Section B - Service Episode Record (SER)

- A. Ongoing narrative regarding contacts, problems, changes made in the home or facility, and other information, including renewal assessments, is added to this section chronologically, with the most recent on top.
- B. The home study and autobiography, placed chronologically within the SER.

13513 Section C - Personnel Documentation

Documentation related to licensee personnel, including references for the applicant/licensee and staff, resumes', and criminal history clearance documents.

13514 Section D - Complaints and Corrective Actions

- A. This section contains documentation related to reports of incidents:
 1. Incident Reports;
 2. Complaints, Findings, Deficiencies, including copies of CPS and licensing allegations and results of investigations;
 3. Conclusions and/or Corrective Actions;
 4. License Letters of Modification, Suspension, Denial, Revocation.

13515 Section E - Application Attachments and Inspection Reports

- A. This section includes items that accompany the application and other forms completed during the licensing process. The following are examples of documents appropriate for inclusion in this section:
 1. Discipline Policy, Evacuation Plan, Medical Plan, Statement on Religion, Training Plan, Articles of Incorporation if applicable, Personnel Policies.
 2. For foster family homes: Confidentiality Statement, Child Care Agreement, Public Disclosure information, verification of TB tests, First Aid/CPR, documentation of attendance at HIV/AIDS classes.

3. Fire Inspection, Health and Safety Inspection Reports, and Licensing Checklists, with the most current checklist placed at the beginning.

13516 Section F - Miscellaneous Correspondence, Financial, and Training

- A. Correspondence that does not properly fit into the other sections.
- B. Payment forms (Provider File requests, SSPS forms, respite payment forms, etc.).
- C. Documents that a licensee or the department provides to verify training.
- D. License Letters of Modification, Suspension, Denial, Revocation.

13600 GENERAL RECORD MAINTENANCE

13610 Filing Records

- A. Clerical staff in each CA office has a choice of using a numerical or alphabetical filing system.
- B. The filing of loose documents in a closed file is a clerical function, only after the file folder has been placed in closed files.

13620 Creating Additional Volumes

- A. Staff requests that clerical staff split a financial or social service record into additional folders (volumes) when the contents exceed the space allowance of the folder (approximately one inch). Clerical staff labels the original folder "Volume 1" and assigns the next chronological number to each additional folder; e.g., "Volume 2," "Volume 3," etc.
- B. Clerical staff enters status, type, name, and each additional volume in CAMIS and notes on the file folder the volume number.

13700 RECORD ACCURACY, PRIVACY, AND DISCLOSURE

- A. This section addresses maintenance of accurate records, personal privacy, and disclosure and nondisclosure of CA records, including licensing records.
- B. These topics are inter-related, with accuracy of information being a significant element.

13710 Expectations for Accuracy

- A. Information in social service records must be complete and accurate, to the best ability of assigned social work or other staff, and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

- B. The Regional Administrator and the Regional Manager are responsible, in their respective areas, for the integrity of data in electronic and paper files.

13720 Public Disclosure

- A. The Public Records Act, chapter 42.17 RCW, governs access to and disclosure of public records. CA is required to make identifiable public records promptly available for inspection and copying upon request by any person, unless nondisclosure is required or authorized by law.

RCW 42.17.280

- B. CA and its employees are immune from liability for any loss or damage based upon the disclosure of a public record if the agency or employee acted in good faith in attempting to comply with the provisions of the law.

RCW 42.17.258

- C. See Appendix A, DEFINITIONS, for the definition of "Public Record" and "Writing."

13722 Public Disclosure Responsibilities

- A. The Director, Division of Management Services, is the designated Public Disclosure Officer for Children's Administration.
- B. Each Regional Administrator and Regional Manager, as applicable, designates a public disclosure coordinator for the regional office and for each local office. The coordinator, upon request, assists the public or department staff in disclosure matters for that administrative unit.
- C. The regions will respond to all day-to-day or ordinary public disclosure requests. However, regional public disclosure coordinators shall not respond to the following requests and shall immediately route such requests to the headquarters public disclosure coordinator for response.
 - 1. Requests for reports collected at the state office; for example, statewide Health and Safety Report, CAMIS reports generated at the state office level.
 - 2. Requests for information from more than one region where consistency of information is necessary.
 - 3. Especially sensitive issues are best handled at Headquarters:
 - a. Requests from the media, including, newspapers, television, and radio;
 - b. Requests from attorneys, which may involve potential lawsuits;
 - c. Requests from legislators;

- d. Requests which reference SSB 5770, Confidentiality of Child Welfare Records.
 - e. Requests involving "hot" cases or those generating controversy in the community; and
 - f. Other cases which may be of a hostile nature or where there is need for headquarters staff and Media Relations to be aware of the request.
- D. When there is a question about whether the preparation should be done at the regional or headquarters level, the regional public disclosure coordinator will consult with the headquarters public disclosure coordinator at (360) 902-7901.
- E. Public disclosure coordinators are to consult with assigned AAG whenever an issue regarding the release of information is not clear.

13722 Public Disclosure Guidelines

CA staff shall comply with the provisions of WAC 388-320-100 and DSHS Administrative Policy 6.14 to make available all disclosable public records. Staff are not required to create information or material. Among the requirements of the WAC are the following:

- A. When information is requested under chapter 42.17 RCW, the public disclosure coordinator must respond within five working days. Therefore, for the those requests described in section 13721, paragraph C, above, the regional public disclosure coordinator or other designated staff must be **immediately** faxed to the attention of the CA Headquarters Public Disclosure Coordinator at (360) 902-7903.
- B. The designated public disclosure coordinator's response may be to:
- 1. Provide the requested material; or
 - 2. Provide the requester with an anticipated date when the division will provide the material.
 - 3. Deny the public record request.
- C. The public disclosure coordinator may require additional time to respond to a request, based upon the need to:
- 1. Clarify the intent of the request;
 - 2. Locate and assemble the information requested;
 - 3. Notify third persons or agencies affected by the request; or

4. Determine whether any of the information requested is exempt and that a denial should be made as to all or part of the request.
- D. In acknowledging receipt of a public record request that is unclear, the public disclosure coordinator may ask the requester to clarify what information the requester is seeking. If the requester fails to clarify the request, the public disclosure coordinator need not respond to it.

WAC 388-320-100

13723 Requests for Disclosure

A request for disclosure of a public record may be oral or written and must be made during customary business hours.

WAC 388-320-130

13724 Preserving Requested Records

If a public record request is made at a time when such record exists but is scheduled for destruction, the department shall retain possession of the record and may not destroy or erase the record until the request is resolved.

WAC 388-320-132

13725 Approval or Denial of Request

- A. The public disclosure coordinator shall grant a request for a record which does not contain exempt information and shall disclose the record.
- B. The public disclosure coordinator shall grant, in part, a request for a record which contains information that is exempt when the exempt information can be deleted so release of the remainder of the information does not violate privacy or "vital government interest," as determined by the CA Public Disclosure Officer. When a record is released with exempt information deleted, the public disclosure coordinator will make notations so the nature of the deleted information is made known.
- C. The public disclosure coordinator will deny a request for a record which contains information that is exempt when the exempt information cannot be deleted and the remainder released without violating privacy or vital government interest.
- D. The public disclosure coordinator shall deny a request for a list of individuals requested for commercial purposes unless it is in an index available to the public, as authorized by RCW 42.17.260(6).
- E. The public disclosure coordinator shall accompany a denial of a request for disclosure with a written statement of the specific exemption authorizing the withholding of the record, or part of the record, and a brief explanation of how the exemption applies to the record withheld.

WAC 388-320-133

13726 Disclosure to Client's Representative

- A. When a representative designated by a client requests the client's record, the request must be accompanied by a written release signed by the client, except when that representative is a legislator or an attorney for the client. The written release must include the following:
 - 1. The identity of the person(s) or organization(s) to whom disclosure is to be made;
 - 2. An identification of the record, or portion thereof, to be disclosed; and
 - 3. A statement of when the authorization for disclosure expires.
- B. The legal guardian of a client has any and all rights accorded to a client by this section.

WAC 388-320-135

13730 Cost of Disclosure

13731 Inspection

Children's Administration shall charge no fee for the inspection of public records.

WAC 388-320-140

13732 Collection of Fees

- A. The disclosing office shall collect the following fees to reimburse itself for costs incidental to providing copies of public records:
- B. The actual cost of printing manuals and manual revisions;
 - 1. The actual cost of copying blueprints and like materials involving an extraordinary expense;
 - 2. Twenty-five cents per page for black and white photocopies; and
 - 3. The cost of postage, if any.
- C. The requesting party must submit the required fees to the public disclosure coordinator within one work day of the request for disclosure and before the records are disclosed.

WAC 388-320-140; RCW 42.17.260

13733 Fee Waivers

- A. When the department is a party in an administrative hearing, the public disclosure coordinator shall authorize free copying of records from a department file when the records are demonstrated to be relevant and the client is indigent.

- B. The public disclosure coordinators are authorized to waive fees. Factors considered in deciding whether to waive fees include:
 - 1. Providing the copy will facilitate administering the program; and/or
 - 2. The expense of processing the payment exceeds the copying and postage cost.

WAC 388-320-140

- C. The disclosing office coordinator shall not charge for locating public documents and making them available for review or copying.

RCW 42.17.300

13740 Protection of Public Records

Public records shall be disclosed only in the presence of a public disclosure coordinator or his/her designee, who shall withdraw the records if the person requesting disclosure acts in a manner which will damage or substantially disorganize the records or interfere excessively with other essential functions of the department.

WAC 388-320-170

13750 Disclosure Procedure

- A. The public disclosure coordinator reviews file materials prior to disclosure.
- B. If the file does not contain materials exempt from disclosure, the public disclosure coordinator ensures full disclosure.
- C. If the file does contain materials exempt from disclosure, the public disclosure coordinator denies disclosure of those exempt portions of the file and, at the time of the denial, clearly specifies in writing the reasons for the denial of disclosure, including a statement of the specific exemptions or the reasons authorizing the withholding of the record and a brief explanation of how the exemption or reason applies. The public disclosure coordinator full discloses the remaining non-exempt materials.

WAC 388-320-205

13760 Review of Denial of Disclosure

If the person requesting disclosure disagrees with the decision of a public disclosure coordinator, the person may petition the department's public records officer for review of the decision denying disclosure.

- A. The form or letter used by the public disclosure coordinator to deny disclosure shall clearly indicate this right of review.

RCW 42.17.320; WAC 388-320-210

13770 Non-disclosable Public Records

A. The following records are exempt from disclosure to the extent provided by the applicable statute:

1. Personal information in any file maintained for clients of public institutions or welfare recipients.
RCW 42.17.310
2. Information regarding applicants and recipients of public assistance.
RCW 74.04.060; 42.17.310
3. Juvenile justice or juvenile care records.
Chapter 13.50 RCW
4. Alcohol and drug abuse patient records. **42 CFR 302.18**
5. Records concerning applicants or recipients of support enforcement activities.
45 CFR 302.18; RCW 74.13.121
6. Adoption and voluntary termination of parent-child relationship records and financial information received from adoptive parents.
Chapter 26.33 RCW; RCW 74.13.121
7. Division of Child Support information regarding location of parents.
RCW 74.20.280
8. Mental illness and inebriacy records.
RCW 71.05.390
9. Records of patients and inmates of state institutions.
RCW 72.01.290
10. Records maintained by rape crisis centers.
RCW 70.125.065
11. Personal information in files maintained for an employee or volunteer of the department.
RCW 42.17.310
12. Information revealing the identity of persons who are witnesses to or victims of crime or who file complaints with investigative, law enforcement, or penology agencies, other than the Public Disclosure Commission, if disclosure would endanger any person's life, physical safety, or property. If at the time a complaint is filed the complainant, victim, or witness indicates a desire for disclosure or nondisclosure, such desire will govern.
RCW 42.17.310

13. Preliminary drafts, notes, recommendations, and intra-agency memoranda in which opinions are expressed or policies formulated or recommended, except that a specific record is not exempt when publicly cited by the department in connection with any action.

RCW 42.17.310

14. Records relevant to a controversy to which the department is a party but which would not be available to another party under the rules of pretrial discovery for causes pending in superior courts.

RCW 42.17.310

15. Information that identifies a person who, while an agency employee:
 - a. Seeks advice, under an informal process established by the employing agency, in order to ascertain his or her rights in connection with a possible unfair or discriminatory practice under chapter 49.60 RCW against the person; and
 - b. Requests such person's identity or any identifying information not be disclosed.

13780 Qualifications on Disclosure

- A. The following limitations are placed on disclosure of public records:

1. To the extent that non-disclosable information can be deleted from the specific record sought, the remainder of the records is disclosable.
2. Statistical information not descriptive of identifiable persons is disclosable.

RCW 42.17.310

3. Inspection and copying of specific records otherwise non-disclosable is permissible pursuant to an order of the superior court or an order of the Office of Hearings enforcing a subpoena.

RCW 42.17.310

4. Upon written request of a person properly identified as a law enforcement officer with a felony arrest warrant or a properly identified United States immigration official with a warrant for an illegal alien, the department shall disclose to such officer or official the current address and location of the person described in the warrant.

RCW 74.04.062

5. Any person may inquire of the department whether a named individual is a recipient of public assistance.

RCW 74.04.060

6. Any records of the department may be made available for research purposes provided that the research complies with the guidelines published by the department as Administrative Policy 12.01 in response

to 45 CFR 46.103 and chapter 42.48 RCW. Any CA staff receiving a request for data or information for research purposes shall refer that person to the Director of Management Services.

WAC 388-320-225

13790 Disclosure for Program and Other Purposes

- A. For purposes directly related to the administration of department programs, information shall be disclosed between offices of the department, unless prohibited by 45 CFR 205.50 or other law.
- B. For purposes directly connected with the administration of department programs, information may be disclosed by the department to outside agencies, unless disclosure is prohibited by law. Agencies or individuals receiving such information are subject to the same standards of disclosure as are required of the department.
- C. To the extent not otherwise prohibited or authorized by law, inquiries from agencies outside the department will be honored only if written and only if the client's authorization is included in the request.

WAC 388-320-240

13795 EXCHANGING CONFIDENTIAL INFORMATION

13796 BACKGROUND

- A. Two new forms have been developed to allow the sharing of confidential client information within and outside DSHS: the Consent to Exchange Confidential Information (DSHS 14-012 Rev. 10/2001) and the Authorization to Release Information (DSHS 17-063 Rev. 10/2001). Children's Administration (CA) will use these forms and not require any additional forms.
- B. These forms meet the legal requirements applying to use of confidential client information for all agency programs.

13797 Purpose

- A. These forms were developed to meet the various federal and state statutory and regulatory requirements on a Department-wide basis, as confirmed by the review of program Assistant Attorney Generals (AAG).
- B. The two forms provide uniformity and are valid Department-wide. CA will use the forms in place of any existing forms. Staff are to accept these forms as valid and not ask a client to complete a different DSHS form if one of these two has been properly executed.
 - 1. The Consent Form 14-012 allows programs to share information about mutual clients to coordinate service delivery.
 - 2. The Authorization Form 17-063 permits DSHS to release client records

and information to a third party, including an attorney, legislator, or relative.

13798 Procedure

- A. All staff shall make the conversion and begin using these forms as they are the best available to meet current confidentiality restrictions across DSHS.
- B. Both are available electronically by scrolling down to and clicking on the form numbers at the following locations:
 - 1. DSHS Internet at: <http://www.wa.gov/dshs/dshsforms/forms/eforms.html>
or
 - 2. DSHS Intranet at http://asd.dshs.wa.gov/html/oar_forms_download.htm.

137100 Disclosure and Privacy

- A. If the public disclosure coordinator determines that a record falls within one or more of the exempt categories in RCW 42.17.310(1), information must nevertheless be disclosed unless disclosure would violate a person's right to privacy or impair vital government interests.
- B. A person's "right to privacy," "right of privacy," "privacy," or "personal privacy," as these terms are used in the statute, is invaded or violated only if disclosure of information about the person:
 - 1. Would be highly offensive to a reasonable person; and
 - 2. Is not of legitimate concern to the public.

RCW 42.17.255

- C. Both prongs of the above test must be met in order to deny disclosure of information or records on privacy grounds. Because individuals who are the subject of public records may not realize that the privacy rights protected under the law are so limited, the public disclosure coordinator may notify third parties who are the subject of a record prior to disclosure.
- D. Prior to releasing any record, the public disclosure coordinator has the option of notifying persons named in the record that release of a record has been requested. The coordinator must notify persons whose names appear in requested records if specifically required to do so by an applicable law.

RCW 42.17.330

137110 Practice Considerations

- A. The social worker provides, subject to the constraints outlined above, a copy of all case file information, relevant to a court proceeding, to a child's parent(s), guardian, legal custodian, or legal counsel. Information which the department reasonably expects to introduce to support the petition is considered relevant. The social worker will provide a copy, free of charge,

within 20 days of a written request or prior to the Shelter Care Hearing, whichever is sooner.

- B. Clients with proper identification have the right to look at their records if they request to do so. They also may challenge the accuracy, completeness, or relevance of statements. Sources of CPS complaints remain anonymous, and their names must be purged from the record prior to the client's review.
- C. The social worker offers language interpreter services to clients who are unable to read the case record information.
- D. All material presented at a dispute hearing is open to examination of the client and his/her representatives, even though such material would ordinarily be considered confidential.
- E. Staff subpoenaed to appear in court shall not take the social service record unless it is also subpoenaed, at which point the social worker consults with the assigned Assistant Attorney General.
- F. No individual shall make available outside the department a partial or complete list of service recipient names or address. Social Service Payment System (SSPS) reports containing client identifiers are confidential.
- G. For adoption records, after the petition for adoption is filed, information, except medical reports, in the child's record may be released only by written order of a Superior Court.
- H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements outlined in the *Case Services Policy Manual*, Chapter 2000, section 2150, are to be followed.

RCW 13.50.100

- I. If a juvenile, his/her parents, or their attorney makes a written request asking the department about the existence and content of custody, or care records, the Area Manager completes the following steps.
 - 1. Makes written response to the inquiry within 10 working days after its receipt. The department provides to the juvenile, the parents, or attorney making the inquiry information regarding the location, nature, and content of any records in the department's possession. A juvenile, the parents, or the attorney, wishing to challenge the information contained in the department records, must notify the department in writing, providing:
 - a. The name of the juvenile.
 - b. A statement of those portions of the record alleged to be inaccurate.
 - c. If retention of the record is being challenged, a statement as to why the record should be destroyed.

2. Reviews the notification of challenge and responds in writing within 30 calendar days. The response will indicate the corrections which have been or will be made or shall state the basis for denial of any requested corrections. If appropriate, the response will also include a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.
 3. Notifies the juvenile, the parents, or their attorney that, if they dispute the department's response, they may seek an administrative review of the decision as provided in the Administrative Procedure Act.
- J. CA staff removing records to an alternative work site must maintain security and confidentiality of information contained in records. To maintain security and confidentiality, information contained in CAMIS will be printed only at department work sites.

137111 Client Records

- A. The following records are disclosable only to the client (the child's parent or legal designee, child or custodian-parent of a child under 18, legal representative of a child).
1. The CPS record, except that the name and other identifiers of the referrer of alleged CA/N may be removed prior to disclosure.
 2. CWS or FRS records.
 3. Juvenile court records or juvenile court documents contained in DCFS files.

RCW 13.50.100

- B. When a non-custodial parent requests information from a child or family record, the public disclosure coordinator consults with the Assistant Attorney General (AAG) prior to releasing the information to determine criteria for release.
- C. The information in paragraph A above may be shared with other public agencies subject to the same rules of confidentiality as CA. For example, information from a CPS or CWS record may be provided to a contractor who is providing counseling or evaluation of a child/ family or shared with Child Protection Teams (CPT) or Local Indian Child Welfare Advisory Committees (LICWAC).

137112 Licensing Files

- A. Unless non-disclosure of particular information is required or authorized by law, licensing record information must be disclosed upon request. Most information contained in licensing records is disclosable. However, licensing records frequently contain information that is confidential or exempt from disclosure requirements.

- B. The public disclosure coordinator or other designated staff will review requested licensing records and identify non-disclosable information in accordance with these guidelines. Staff will redact (remove) non-disclosable information from the record. The public disclosure coordinator will make remaining disclosable information available to the requester for inspection and copying or provide a copy to the requester.
- C. Whenever disclosure of information is denied, the public disclosure coordinator will provide a written explanation to the requester, identifying the information for which disclosure is denied and the specific statutory basis for the denial.
- D. **Personal Information in Licensing Files**-The release of personal and private information is a sensitive issue, and decisions about releasing too much or too little information are difficult. When a question regarding the release of personal and private information arises, the coordinator needs to consult with the assigned AAG.
- E. **Personal and Private Information**-The following table provides examples of personal and private information that CA has released and examples of such information that the agency has declined to release.

Information Released	Information Not Released
Generalized answers about the applicant's background	Fact that a foster mother had been raped and received extensive counseling
Experiences with raising children	Sexual orientation of applicant when of no concern to public
Description of foster parent relationships, marital relationships, individual strengths, etc.	Historical family background, such as applicant's parents' marital relationship, family conflict issues, etc.
Statements regarding desire to become licensed providers	Reports of abuse applicants suffered in the past
Description of physical home of applicant, medical and other services they utilize for children in their care	Criminal conviction of applicant's parents or children unless it directly relates to the application
Autobiographical information that does not seem private or offensive	Medical conditions of applicants or their family, such as a child with Down's Syndrome
Statements regarding licensees' willingness to work with parents and agency staff	

F. **Notice of Disclosure**

- 1. The public disclosure coordinator provides notice of disclosure to individuals whose licensing files are being released prior to release of the file.

2. The coordinator also provides notice to those named in the file who will be significantly impacted by release of the information.
3. If a question arises regarding the need to notify an individual, the coordinator consults with the assigned AAG.

137113 Disclosure of Police Reports

- A. When a request is received for a copy of a police report, the public disclosure coordinator needs to notify the police agency that CA has received a request for a copy of one of their reports in the agency file.
 1. The police agency must provide specific legal citations, within time-frames that will enable CA to meet legal deadlines for disclosure of information, if it wants CA to withhold the information.
 2. If disclosure of the information would interfere with an ongoing investigation or legal action (on the part of a prosecutor), CA can withhold the information when it receives such notice from the police or prosecutor in writing.
 3. Information may be releasable once the investigation is completed.

137114 Information Subject to Challenge

- A. The social worker is to make reasonable efforts to review information about CA/N that is reported to DCFS and investigative findings which are challenged by parents or other parties to a case. The social worker:
 1. Pursues new information or leads which might resolve the conflict.
 2. Interviews additional persons identified as having relevant and direct knowledge about an incident.
- B. A parent or other party to a case may provide a written statement about contested information. The social worker files the written statement in the record in a proximate location to the contested information.

137115 Expungement of Information

- A. The supervisor may expunge information from a case record when the following apply:
 1. The information has been found to be untrue in a juvenile court proceeding on the matter; OR
 2. The Area Manager and the supervisor agree that sufficient information exists to show the case record to be inaccurate; AND
 3. There is a written request for expungement from the party who is the

subject of the erroneous statement.

- B. The supervisor documents the reasons for expungement in the record.
- C. The supervisor destroys, discards, or deletes expunged information from an existing report or document.

13800 CASE ASSIGNMENT, TRANSFER, CLOSURE OF RECORDS

See chapter 15000, section 15202, for CAMIS policy and procedure related to this topic.

13810 Active Cases

- A. An active case, in CAMIS, is one in which the division is providing services to the family and/or child. Active cases have the social worker assignment coded to match the definitions for Service Codes contained in this chapter.
- B. If paperwork only is pending, the social worker assignment will be coded as "services inactive."

13820 Case Numbers

13821 Case Files for Legally Free Children

For requirements for legally free children, see chapter 15000, section 15206.

13822 Family and Placement Cases

For requirements for family cases, cases involving a child in placement or in-home dependency, and cases involving teen parents see chapter 15000, section 15202.

13830 Case Transfer

The Regional Administrator for DCFS, the Regional Manager for DLR licensing functions, and the DLR Manager for the Child Abuse & Neglect Section shall establish procedures for the transfer of case files consistent with chapter 15000, section 15202.

13831 Case Record Management

- A. **Social Service Files**-For transfer of active social service cases between regions, the Regional Administrator will establish procedures consistent with the following minimum requirements:
 - 1. Before the transfer is made, the transferring social worker reviews the service record for completeness. All documentation and recording must be current.
 - 2. The transfer must be made within seven working days after receipt of the

request with a notation in the record as to any additional material to be forwarded and the specific date it will be forwarded.

- a. The receiving supervisor must agree to the transfer before the case is transferred; or
 - b. The responsible Area Managers(s) must agree to the transfer in advance of the transfer.
 3. If the department purchases a service for the client being transferred and the provider or payee does not change, the transferring worker does not terminate payment on the *Change of Service Authorization*, DSHS 14-159. Within 15 days, the receiving worker submits a DSHS 14-159 form to change the worker ID and case number and update location and other information that has changed.
 4. If the provider or payee changes, the transferring social worker terminates payment on the *Change of Service Authorization* prior to the transfer to the new office. The receiving worker submits a new authorization to update services upon receipt of the record.
 5. If the client receives no purchased services, the sending social worker terminates any open service authorizations using the *Change of Service Authorization*.
- B. **Adoption Files**-Because the agency file on a child is needed to facilitate an adoption and the adoption worker needs to complete paperwork, CA staff will adhere to the following procedures for transfer of adoptive case files for legally free children who are placed from one CA area to another:
1. The child's case file is transferred to the DCFS office/unit where the adoptive family is served. See paragraph h below if the adoptive family is supervised by a private agency. The case number will remain the same as the sending office's case number. Minimum documentation requirements to be included in the file before transfer are:
 - a. A certified copy of the order terminating parental rights (or documentation that it has been requested and will be forwarded upon receipt);
 - b. Complete documentation as to reasonable efforts to obtain information about the child and family medical and social background;
 - c. The DSHS 13-041, signed by the child's social worker and the adoptive parent(s); and
 - d. Completed narrative recording.
 2. A working file is maintained in the sending office for incidental documents;

e.g., copies of the Individual Service Plan (ISP). Local procedures determine whether the child's worker or the local adoption unit maintains the working file.

3. The adoption worker prepares the ISP and the health and education form and sends them to the sending office worker for distribution to the parties and presentation at pre-adoption dependency review hearings.
 4. The pre-adoption dependency reviews continue to be held in the juvenile court of original jurisdiction. Local procedures determine whether the child's CWS worker or an adoption worker files and presents reports to the court pending finalization.
 5. When the adoptive family finalizes in Superior Court in the county of residence, a copy of the decree is sent to the sending office for presentation to the juvenile court along with a motion to dismiss and close the dependency case.
 6. The dismissal is sent to the adoption worker.
 7. Should the placement disrupt prior to finalization, the child and the case file are returned to the sending office for continued placement planning.
 8. If the child is placed in a private agency adoptive home, the child's worker sends a case summary and copies of legal and pertinent medical documents to the private agency. The DCFS file will be maintained in the local office until finalization.
- C. **Federal Revenue File**-Upon request for an inter-regional or inter-office transfer of a child's social service record through Master File or by a social service unit supervisor or worker, designated staff checks CAMIS for the existence of a Federal Revenue file.
1. Master File transfer clerk or other designated staff checks CASEUP3 for the presence and status of the Financial Revenue record.
 2. Master File notifies the assigned Federal Funding Specialist (FFS) and Supplemental Security Income Facilitator (SSIF) that a case transfer has been requested, and the FFS or SSIF makes the Federal Revenue file available within three working days for transfer.
 3. The FFS prepares the active/open Federal Revenue file for transfer and affixes the *Transfer Notice*, DSHS 01-194, to the Federal Revenue file designating the local or regional office to which the file is to be sent.
 4. Once Master Files receives both the social service and the Federal Revenue files, the two case jackets are forwarded to the requesting DCFS office/region.
 5. The Master File clerk or other designee notes in CASEUP3 the transfer

status of both the social and federal revenue files.

D. Family Home Licensing Files-For transfer of active family home license files between offices or regions, the DLR Regional Manager will establish procedures consistent with the following minimum requirements:

1. When a family with a valid, active child care license moves from one address to another and wishes to remain licensed, the licensee must submit a new application for child care license for the category of care being provided reflecting the changed circumstances and new address to the appropriate DLR licenser.
2. The licenser or other designated staff must create a new CAMIS license record for the application at the new address.
3. For licensed foster family homes having an acceptable history of child care, the old license may remain in effect for two weeks after a move, except that this applies only if the family remains intact.
4. If the family applies for a new license in the new locale, the licenser or support staff in that office will contact the licenser in the former locale and request transfer of the licensing file.
5. Before the transfer is made, the transferring licenser reviews the license record for completeness. All documentation and recording must be current before transfer.
6. The transfer must be made within seven working days after receipt of the request with a notation in the record as to any additional material to be forwarded and the specified date it will be forwarded. The receiving Regional Manager or supervisor must agree to the transfer before the case is transferred.

13840 Placement Out of Area - Record Maintenance

For requirements for courtesy supervision when a child is placed from one CA service area to another, see the *CA Practices and Procedures Guide*, chapter 4000, section 4430.

13850 Case Closure

A. Staff Support Procedures

1. When a record is returned to Master Files following closure, support staff remove the contents of the binder and secure the contents with either a rubber band or a clip, then put the contents into a color coded file folder, labeled with the client's name, case number, and notation on the outside of the folder if the client is LEP, ICW, or American Sign Language (ASL).
2. The file folder is then stored in Master Files in accordance with local

procedures.

- B. See chapter 15000, section 15202, for additional procedures regarding closure of cases.

13900 RECORD RETENTION AND ARCHIVING

13905 Destruction of Electronic and Hard Copies

139051 Purpose and Scope

- A. All requests received from subjects of Children's Administration (CA) files by CA for destruction of electronic and hard copy records will be destroyed in accordance with CA's approved record retention schedule.
- B. This does not apply to records that have already been placed in archives for local office and record retention center archiving and destruction periods.

139052 Policy

- A. RCW 26.44.031 requires that CA destroy information related to unfounded referrals in files or reports of child abuse or neglect after six years.
- B. At the end of six years from receipt of the unfounded report, CA must purge the information unless an additional report has been received in the intervening period.

139053 Request for Destruction

139054 Procedures

Sections 139053 and 139054 have been rescinded by CA Administration. The sections were not in compliance with RCW 26.44.031.

13910 Case Record Purging or Storage

- A. To allow maximum available filing space, offices periodically purge Case Records. Any other separately kept records such as the revenue file are to be consolidated with the case records files prior to the purge, and then the consolidated case records are to be sent to the Records Reference Center (RRC). RRC stores the case records until they are recalled or ready for destruction. Records that are in an agency name and have no barcode number will be stored with the Secretary of State Record Center. This section instructs support staff how to correctly purge, ship, and recall case records through RRC.
 - 1. **Office Request Coordinator**-Office Request Coordinators are persons designated by the office as authorized to request records or obtain information from records stored at RRC.
 - 2. **Records Coordinator**-The Records Coordinator is the person

designated in each office to have responsibility and authority for the retention/destruction of all files.

3. **Purge Process**-Once a year, the CAMIS (Office of Information Systems) sends to each region a listing of all cases with no activity for a two-year period. In addition, there is a procedure on-line in CAMIS that allows local office staff to call up a list of records that have not had activity in the past two years. CA clerical staff will use one of these sources to assist them in the purge process.

B. Retention Periods

1. The local CA office retains all files, including unfounded CPS referrals, in the local office for two years following any case activity, including, but not limited to new referrals and children in placement. When a new referral is received on a closed case, whether still in the local office or at the RRC, the case is reactivated and a new six-year period begins. The RRC retains the inactive files an additional four years, after which they are destroyed, with the following exceptions.
2. The following are exceptions to the requirements of paragraph 1:
 - a. **OFCL and DLR-CPS Files**
 - i. The local DLR office retains DLR case files in the office for two years following termination of the license. The RRC then retains the files for an additional four years, for a total of six years, at which time they are destroyed.
 - ii. The local DLR office retains on the premises in an office retention file for a period of 35 years any case file for a license that CA has revoked or denied.
 - b. **Adoption Files**-For all finalized adoptions for whom state or federal funds have been expended, the local office adoption worker ascertains that CA has a complete copy of the CPA's file for each child.
 - i. The adoption worker or designated staff obtains the revenue file from the IV-E specialist and adds it to the social work file. Designated local office staff sends the complete file to the CA headquarters adoption file archive specialist in accordance with the Archiving Policy in section 13930. of the *Operations Manual*.
 - ii. The archive specialist in Headquarters forwards the file to the Records Reference Center (RRC).
 - iii. Local offices must **not** retain archived adoption files.

iv. The RRC retains the adoption file for 99years.

- C. **Preparing RRC Cartons**-Support staff box and ship unneeded case records in specially designed cartons. When preparing an RRC carton for shipment, support staff:
1. Contacts the Financial Resource Unit to see if there is a financial record. If a financial record is found, it is included with the case record to be shipped.
 2. Arranges the case records within an RRC carton in alphabetical or terminal-digit order;
 3. Signs on to the terminal for Bar Code program and to the printer with their user ID;
 4. Selects BOX ADD from the Selection Menu. When the BOX ADD menu appears, select "Closed Records";
 5. Enters the appropriate data for each case record into the computer. Bar Code will accept up to 100 case records per box. When entries are complete, two copies of the transmittal will automatically print;
 6. Completes and affixes an RRC carton label, DSHS 2-227, under one the carton's hand grips so the case records are facing the labeled end; and
 7. Secures the lid to the carton with monofilament tape.
- D. **Shipping Cartons to RRC**-Offices ship cartons of case records to RRC by various methods, including regional office courier, state office courier, or parcel services. Staff determines the best method of shipping cartons from their office.
- E. **CAMIS Procedure for Record Retention**-Assigned staff inputs information by using CASEUP3. Staff changes file status to "R" and enters date sending, box number, and destroy date.
- F. **Recalling Case Records from RRC**-When an office finds it necessary to recall records located at RRC, master files staff access CAMIS to locate the box number for the case record. Staff contacts RRC by use of Mapper and/or telephone. Upon receipt of requested records, clerical staff updates CAMIS to reflect current status of file.
- G. **Transfer Out Responsibilities for RRC**
1. Clerical staff receives a request from a CA office to transfer a case record.
 2. Clerical staff will access CAMIS to determine status and location of the record.

3. Clerical staff will contact RRC using Mapper and/or telephone and request the record be sent directly to the receiving office. Transfer out clerical staff will change the case status and file folder status to reflect transfer of the record to the receiving office.

H. **Annual Destruction of Case Records at RRC**

1. Once a year, RRC destroys those case records stored at their facility that have met the required retention period.
2. Offices receive an *RRC Destruction Notice*, DSHS 1-100, from RRC each October notifying them of the cartons of case records scheduled for destruction the following January. Offices have until the end of December to:
 - a. Review the DSHS 1-100;
 - b. Identify and recall those case records they do not want destroyed; and
 - c. Authorize RRC to destroy the remaining case records.
3. On CASEUP3 screen, clerical staff inputs in the location or case notes that the record was destroyed and the date.

13920 Federal Revenue Record Archiving or Storage

- A. Prior to any case being sent to adoption archives or the Record Retention Center, the child's social file shall be consolidated with the Federal Revenue File.
- B. Any Title IV-E, Title XIX, or SSI documentation shall be reviewed by the FFS and/or SSIF and shall be sent to Master File to be consolidated with the child's social service file.

13930 Archiving of Records of Legally Free Children

- A. RCW 26.33.330 and 26.33.340 provide for the sealing of all adoption files and for the limited release of information from those files. Archiving ensures a permanent record of the child's past involvement with the agency. RCW 26.33.343 provides procedures for accessing of adoption records.
- B. Records of all legally free children are to be archived upon the child's adoption even if a private agency completed the adoption and has a duplicate file; the department's case record is to be archived or upon closure of a case after the child turns 18 years of age. Prior to any case being sent to adoption archives, the child's social file is consolidated with the Federal Revenue File (Siblings are not to be archived together.) The social worker will complete the archiving of the child's file within 90 days of the dismissal of the dependency.

- C. When the adoption is final and all court orders, including the Order Dismissing Dependency, have been received by the child's social worker, the social worker prepares the social file for archiving and sends the file to the regional or local Federal Funding IV-E Unit.
- D. The FFS and/or SSIF will review any Title IV-E, Title XIX, or SSI documentation and will consolidate it with the child's social service file. The combined files will be returned to the child's social worker within 30 days of receipt. The financial and service files are not archived while a SSI application is pending. The social worker or other assigned staff updates and closes CAMIS legal, placement, adoption and case modules.
- E. The social worker or support staff, as applicable, prepares the file in the following sequential order:
 1. Cover memo listing the child's birth name, date of birth, adoptive name, adoptive parent's name/s, date of adoption decree, Superior Court where the adoption was finalized, the social worker's name, and the local office sending the file.
 2. Copy of final decree of adoption (need not be certified).
 3. Copy of the Dismissal of dependency
 4. Child's *Medical and Family Background Report* is signed by the adoption facilitator and by the adoptive parent(s) including initials where appropriate. Assigned staff must attach all other documents given to the adoptive parents with the DSHS 13-041. (Copies of these documents need not be included elsewhere in the archived file.) See the CA *Practices and Procedures Guide*, chapter 4000, section 45403, for requirements for disclosure of health and social information on the child and the child's birth parents to the adoptive parents.
 5. Each volume of the social file shall be removed from the binder, have a rubber band placed around it and labeled with the volume number. Dividers should be removed from the sections (There is no need to separate the sections). Each volume should contain all sections of the child's file including:
 - a. Narrative recording section.
 - b. Indian Child Welfare forms, including LICWAC staffing reports, verification of Native American status, Family Ancestry Chart, notices to Tribes or Canadian Bands, and other related documents.
 - c. Legal/placement document section, including court orders, reports to the court, Individual Service Plans (ISP), Pre-placement and Post-Placement Reports, Voluntary Placement Agreements, custody orders, Adoption Planning Review Reports, Administrative Review Reports, Permanency Planning staffing forms, relative home studies,

and related documents.

- d. Medical, psychological, psychiatric, developmental, and school reports on the child as well as psychiatric, psychological, and medical information on the birth parent(s) if in the child's file; documents pertaining to the parents' and/or child's functioning.
 - e. Copies or documentation of any disability benefits applied for or received on behalf of the child.
 - f. Adoption documents, including a copy of the child's life book, WARE and NWAE registration forms, if applicable.
 - g. Copies of the financial section of the file are maintained in the file until the Federal Revenue file is reviewed and archived. Closure copies of payment (SSPS and A-19s, if any) forms, defined as those with a termination code, to provide a record of payments made on behalf of the child, remain in the archived file.
 - h. Statement from Trust Funds Accounting regarding final dispersal of any conserved funds.
 - i. A copy of the child's Social Security card and birth certificate.
 - j. A copy of the Adoption Support program application, if applicable.
- F. If it comes to the attention of the IV-E Unit that a child in out-of-home care has been adopted, the assigned Federal Funding Specialist communicates to the worker's supervisor requesting that the file be prepared for archiving and forwarded to the IV-E Unit.
- G. When the IV-E Unit receives the prepared file from the social worker or assigned staff person the FFS includes as one section those parts of the IV-E file that are to be archived.
- H. The FFS checks the CAMIS files to ensure the legal, placement, adoption, and case modules have been closed and that SSPS authorizations, other than for the Adoption Support Program, have been terminated. If these modules have not been closed, the case will be returned to the adoption worker to complete the CAMIS documentation. The FFS checks to ensure federal funding information is correct. The child's record with the birth name is closed and secured by the Federal Funding Specialist.
- I. The FFS maintains the closure copies of payment (SSPS and A-19s, if any) forms, defined as those with a termination code, to provide a record of payments made on behalf of the child, making sure that all documents from the Federal Revenue file have been incorporated with other payment forms.
- J. For legally free children who have not been adopted, case records are archived as outlined above after the child's 18th birthday and following case

closure.

- K. The social worker or support staff, as applicable sees that the archived file is sent to the Headquarters Adoption Program Manager at MS 45713, P. O. Box 45713, Olympia, WA 98504-5713 for archiving and notifies the Master File clerk of the date the record has been sent to the state office for archiving along with the file covers.